

03/01/02

A

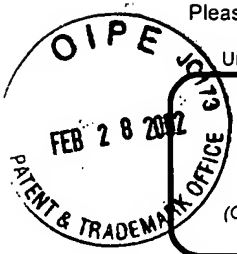
PTO/SB/05 (08/00)

Please type a plus sign (+) inside



Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number



UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | 11301-1481 |
| First Inventor | Sato, et al. |
| Title | Process for the Preparation of Urethan Resins and Urethane Resin Compositions |
| Express Mail Label No. | EL 789316864 US |

10/085213
02/28/02

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

☐ APPLICANT REQUESTS EARLY PUBLICATION UNDER 37 CFR 1.219 (additional fee)

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
3. ☒ Specification (preferred arrangement set forth below) [Total Pages **140**]
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed. Sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

4. ☒ Drawing(s) (35 USC 113) [Total Sheets **2**]
5. Oath or Declaration [Total Pages **3**]
- a. ☐ Newly Executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR §1.63(d)) (for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

Assignee
Name and Address
(if applicable)

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & Documents(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No: **09/242,525**

Prior application information: Examiner **Rabon Sergen Z**

Group / Art Unit: **17/1**

For CONTINUATION OR DIVISIONAL APPS only: the entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS



Customer Number or Bar Code Label

24504

(Insert Customer No. or Attach bar code label here)



Correspondence address below

| | | | |
|---------|--|-----------|--------------|
| NAME | George M. Thomas Thomas, Kayden, Horstemeyer & Risley, L.L.P. | | |
| ADDRESS | 100 Galleria Parkway Suite 1750 | | |
| CITY | Atlanta | STATE | Georgia |
| COUNTRY | U.S.A. | TELEPHONE | 770-933-9500 |
| | | ZIP CODE | 30339-5948 |
| | | FAX | 770-951-0933 |

| | | | |
|-------------------|------------------|-----------------------------------|---------|
| Name (Print/Type) | George M. Thomas | Registration No. (Attorney/Agent) | 22,260 |
| Signature | | Date | 2/26/02 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete If Known

| | |
|----------------------|----------------|
| Application Number | To be assigned |
| Filing Date | |
| First Named Inventor | Sato, et al. |
| Examiner Name | To be assigned |
| Group / Art Unit | To be assigned |
| Attorney Docket No. | 113010-1481 |

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

20-0778

Deposit Account Name

Thomas Kayden Horstemeyer Risley LLP

- ☒ Charge any Additional Fee required under 37 C.F.R. 1.16 and 1.17.
- ☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☒ **Payment Enclosed:**
- ☐ Check ☐ Money Order ☒ Credit Card ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|---------------------|-----------------|----------------|-----------------|------------------------|-------------------|
| 101 | 740 | 201 | 370 | Utility filing fee | \$740 |
| 106 | 330 | 206 | 165 | Design filing fee | \$ |
| 107 | 510 | 207 | 255 | Plant filing fee | \$ |
| 108 | 740 | 208 | 370 | Reissue filing fee | \$ |
| 114 | 160 | 214 | 80 | Provisional filing fee | \$ |
| SUBTOTAL (1) | | | | | (\$740.00) |

2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|------------|
| Total Claims | 5 | -20** = 0 | 9.00 = 0 |
| Independent Claims | 3 | -3** = 0 | 42.00 = 0 |
| Multiple Dependent | | | 140.00 = 0 |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|----------------|-----------------|----------------|-----------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent Claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claims in excess of 3 |
| 109 | 84 | 209 | 42 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

** or number previously paid, if greater; For Reissues, see above

SUBTOTAL (2) (\$0)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|---|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex-parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension of time within second month | |
| 117 | 920 | 217 | 460 | Extension of time within third month | |
| 118 | 1,440 | 218 | 720 | Extension of time within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension of time within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt. | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (time number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**

Typed or Printed Name

George M. Thomas

Registration No. 22,260
(Attorney/Agent)

Telephone Number

770-933-9500

Signature

George M. Thomas

Date

2/26/02

Deposit Account
User ID

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: **Sato, et al.**For: **Process for Preparation of Urethane Resins and Urethane Resin Compositions****CERTIFICATE OF EXPRESS MAIL**

Assistant Commissioner for Patents
BOX: Patent Application
Washington, D.C. 20231

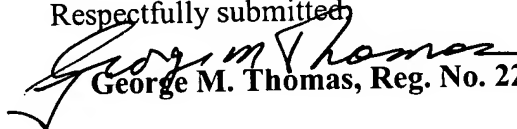
Sir:

Enclosed for filing in the above case are the following documents:

Return Postcard
Utility Patent Application Transmittal Page
Fee Transmittal Page
Utility Patent Application Consisting Of:
127 Pages of Specification
12 Pages of Claims (Claims 1-45)
1 Page of Abstract
2 Pages of Formal Drawings (Figs. 1 and 2)
Copy of Declaration from parent application
Statement Under 37 C.F.R. 3.73 Identifying Assignee
Copy of Assignment from parent application
Preliminary Amendment
Credit Card Authorization Form in the amount of \$740.00

Further, the Commissioner is authorized to charge Deposit Account No. 20-0778 for any additional fees required. The Commissioner is requested to credit any excess fee paid to Deposit Account No. 20-0778.

Respectfully submitted,


George M. Thomas, Reg. No. 22,260

**THOMAS, KAYDEN, HORSTEMEYER
& RISLEY, L.L.P.**

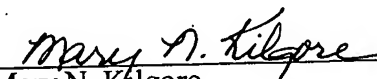
100 Galleria Parkway, N.W.
Suite 1750
Atlanta, Georgia 30339-5948

Our Docket No: **11301-1481**

I hereby certify that all correspondence listed above are being deposited for delivery to the above addressee, with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR §1.10 on the date indicated below:

The envelope has been given U.S. Postal Service "Express Mail Post Office To Addressee" Package # **EL 789316864 US**.

Date: 02-28-02


Mary N. Kilgore

EL 789316864US